

UDOT Guidelines for Archaeological Survey and Testing

Revised

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INTRODUCTION

Region Archaeological Consultants (hereinafter Consultants) are an important part of the archaeological and historic preservation compliance program of the Utah Department of Transportation (UDOT or the Department). The UDOT has created these guidelines to instruct both Consultants and others in the UDOT historic preservation compliance process. These guidelines apply to all projects (including encroachment) sponsored, funded, or permitted in whole or in part by the UDOT and/or FHWA. It is expected that Consultants will comply with the guidelines. Firms who do not follow these procedures or meet these standards can be disqualified from consideration or use within the pool.

While these guidelines contain many procedures considered essential to completing surveys and reports for the UDOT, they should not be considered so rigid as to rule out any flexibility. We recognize that unique situations occur and are open to appropriate flexible solutions that may not be presented below. To avoid costly delays due to miscommunication, the UDOT requires that all Consultants contact the UDOT Regional Archaeologist prior to initiating fieldwork, and encourages consultation and coordination with the UDOT Regional Archaeologist throughout the project. Thus, flexibility, as well as open communication with the UDOT Project Manager and the Regional Archaeologist, is a key element to any UDOT project.

Consultants should be advised that certain aspects of these guidelines may not apply to projects conducted within the jurisdiction of other state or federal agencies. In this case, the methodological approach utilized will be developed by the Consultant, the UDOT archaeologist, and the relevant representative of the cooperating agency.

The UDOT expects that all Consultants will be fully familiar with all of the *National Register Bulletins* published by the National Park Service (NPS) - U.S. Department of the Interior. In addition, it is incumbent upon the Consultant to ensure that key staff are fully permitted and meet the Secretary of the Interior's *Professional Qualifications Standards for Archaeology* as outlined in 36 CFR 61 - Appendix A.

GENERAL PROCESS

On June 17, 1999 revised regulations (36 CFR 800) implementing Section 106 of the National Historic Preservation Act went into effect. These changes affect the way UDOT will perform all aspects of the cultural resources compliance process and will affect project scope, schedule, and budget. Archaeological consultants working for UDOT, either directly or as subconsultants, will be required to function within the following framework and must be prepared to properly budget time, money, and resources so that UDOT can maintain proper legal compliance.

Appendix C depicts the revised UDOT internal compliance process for completing cultural resource inventories. The first step for any Consultants working for UDOT, or on a UDOT- or FHWA-sponsored, funded, or permitted project, will be to contact the appropriate Regional

Archaeologist. Prior to beginning field inventories, the Consultant **must** obtain written authorization to proceed, using the UDOT Field Authorization Form (Appendix A). This authorization will be given **after** discussions with the Regional Archaeologist concerning survey boundaries, level of effort, and consulting parties consultation. Any literature searches should be conducted prior to this initial consultation. The authorization form will also establish a schedule for progress reports if deemed necessary by the Regional Archaeologist.

Having obtained the signed authorization, Consultants can proceed with field inventories as agreed. All reports produced after fieldwork must be clearly labeled **DRAFT** and must be prepared so that all sensitive information such as locations of archaeological sites, TCPs, sacred sites, or any information from which location could be derived, is contained in a **detachable** appendix. This appendix must be clearly labeled like the report with the report title, SHPO permit number, and UDOT project number and date, as well as any number or designation used by the Consultant for internal tracking. On transportation projects, the Consultant will submit the DRAFT report and any appendices to the Regional Archaeologist only, unless directed otherwise by the Regional Archaeologist. The Regional Archaeologist will respond to the Consultant with any changes, corrections or comments required. Upon completing any changes, the Consultant will return the DRAFT FINAL report and appendices to the Regional Archaeologist, who will send it for review to consulting parties. The consultant should assume a minimum of ten (10) copies each of the Draft Final and Final reports. However, part of the initial consultation will be to discuss potential interested parties and information needs, so this number could change. The consultant should make an effort at estimating the information needs of the project and discuss this with the Region Archaeologist. Appendices will have limited distribution as directed by the Regional Archaeologist. All copies and appendices must remain labeled as DRAFT (and be recognized as such) pending comments from interested parties and the public. This first comment period, and all subsequent comment periods, shall be 45 days to allow for the 30 days of official comment period as required in 36 CFR 800, and for processing time. At the end of the first comment period on the draft final inventory report, comments received will be reviewed and addressed by UDOT. The DRAFT and FINAL reports are defined in a glossary at the end of the guidelines. Draft reports are not required to contain final photographs, but legible copies. Draft reports will be kept intact and on file since in most cases they are deliverables required by contract. Reports must be marked as DRAFT or FINAL. While it is true that no report sent to consulting parties is truly final until it is accepted, marking reports final is necessary to maintaining a clear timeline in the project files. The correspondence forwarding the report will always make it clear that under the 106 regulations, consulting parties have the option to request modifications they deem necessary. Please be aware that, depending on the comments received, the Consultant might be required to perform additional literature searches and field inventories as directed by the Regional Archaeologist, and the DRAFT report and any appendices revised accordingly. Once all comments have been addressed, UDOT will provide the Consultant the results of Native American (and possibly other consulting parties) consultation for inclusion in the final report and appendices, which will be labeled FINAL and produced in the number requested by the Regional Archaeologist. The FINAL report will then be submitted by the Regional Archaeologist for formal concurrence by the SHPO and any applicable Tribal Historic Preservation Office (THPO).

PROJECT PERMITS

Prior to entering the field, the Consultant must obtain all the necessary project specific permits. This includes an encroachment permit from the relevant UDOT Regional Permits Officer for any activity within the right-of-way such as fence cutting, heavy equipment operation, or signing. The Consultant must have a current “blanket” state permit, and, for each inventory, a project number from the Utah Division of State History. The Consultant may also need a project-specific federal permit. All testing for eligibility should be done under the survey permit.

RECORDS SEARCH

The Consultant must also conduct a records search before entering the field, utilizing the National Register, historic and archaeological files, and other databases at the Division of State History and the paleontological files in the State Paleontologist's Office at the Utah Geological Survey for projects involving private, state, and federal lands. If BLM land is involved (or bounds the area to be surveyed), the Consultant should conduct a literature search at the BLM Resource Area office with immediate jurisdiction. Similarly, if Forest Service land is involved (or nearby), a search of records at the local Forest headquarters is necessary. Each UDOT Region headquarters should also be contacted for records on areas within existing state highway rights-of-way.

As of February 1998, the UDOT has a standing agreement with the Utah Geological Survey (UGS), which states that for all projects the Consultant will contact the UGS in writing to perform a literature search. Within two weeks, the UGS will comment in writing to the Consultant on the results of the search. The Consultant will include a copy of the written confirmation (generally included as an appendix) in the inventory report. The Consultant will coordinate with the relevant UDOT Regional Archaeologist if the UGS requires an on-the-ground inventory in their written response.

UDOT Intensive Level Surveys involving historic buildings or sites require that a file search of records located in the office of the Assessor and/or Recorder for the various counties be checked for relevant information concerning the following: ownership, age, structural modifications, additions, old photographs, and property boundaries. Some of this information may be required on Reconnaissance Level Surveys as well. If the proposed highway project has any Federal Highway Administration involvement, review, and/or funds, and has the potential for “taking” any land or buildings from a historic property for the project, the Consultant must establish the historic property lines and the location of all buildings and structures eligible for listing on the National Register of Historic Places (NRHP). “Taking” refers to any impact by a UDOT/FHWA sponsored project on any quality contributing to national register eligibility of an historic property. These data are required in order to complete a Section 4(f) evaluation of the Department of Transportation Act of 1966. If there is any doubt or question about Section 4(f) involvement, please contact the UDOT Regional Archaeologist.

In addition, if any bridges are part of the project, the Consultant is required to conduct a search of the UDOT's Structure files located in the Calvin Rampton Complex (4501 South 2700 West in Salt Lake City). A check of the UDOT's Historic Bridge Inventory records must be completed. These records are available from the relevant UDOT archaeologist. Further, the Consultant should check the "as built" plans in UDOT's Central Records in the Calvin Rampton Complex.

SURVEY COVERAGE

In the past, the UDOT has had problems with inadequate survey coverage, which has led to significant cost overruns in the data recovery contract and/or management problems. It is absolutely imperative that Consultant personnel take as much care as humanly possible to conduct a **complete** project inventory. The project area and the survey area are generally the same, but they do not have to be. The project area generally refers to the footprint of the project for which the survey is being done. The survey area may be larger, smaller, or the same size as the project area. For example, if the area of potential effects (APE) is larger than the project area, survey may be done outside the project area. If a portion of the project area has been surveyed previously, the survey area for the current project may be smaller than the project area. Also, portions of the survey area may be surveyed at an intensive level and portions may be surveyed at a reconnaissance level (e.g., when there is a wetland in the project area). If necessary, separate maps should be provided showing the project area versus the survey area.

The determination of the survey area will be made in consultation with the Regional Archaeologist. Encroachment projects, particularly those for utilities, may be required to survey the entire right-of-way on one or both sides of the road.

Survey intensity should be high (see Plog, Plog and Wait 1978), with spacing between crew members no more than 15 meters. Ground visibility should be 80% or better, especially in snow conditions. This means that shovel testing or some other form of subsurface testing might be necessary in some situations such as dense vegetation cover, but that in no case where ground (snow) cover is more than 30% will surveys be considered adequate without some form of subsurface testing.

RESOURCE RECORDING

UDOT projects generally fall in two categories: rural and urban surveys. In rural settings, intensive field inventory of archaeological, historical, and fossil resources is usually required. In urban settings, the potential for archaeological remains (especially prehistoric) needs to be considered, but the primary resource type will consist of architectural resources. The Utah Division of State History has defined two types of inventory procedures for architectural resources: Reconnaissance Level Survey (RLS or recon) and Intensive Level Survey (ILS). Requirements for both of these types of inventories are discussed below. UDOT projects require that the following types of resources be recorded by Consultants: prehistoric and historic archaeological isolated finds

and sites; historic sites, buildings, structures, and objects; traditional cultural properties or sacred sites (TCPs); and fossil localities. All cultural resources 45 years old or older that are in the survey area should be recorded. More recent cultural resources may be recorded as appropriate, in consultation with the UDOT archaeological staff.

TCPs can include sites with no physical evidence of activities, such as traditional plant gathering localities, or locations associated with significant religious beliefs, as discussed in National Register Bulletin Number 38. These properties do not have to be 45 years old to qualify as a TCP. Other site types that are sometimes overlooked include historic transportation- and water-related features such as bridges, culverts, retaining walls, roads, railroads, ditches and canals, historical markers, and designed landscapes.

The following management-oriented guidelines for distinguishing between a "site" as opposed to an "isolate" are offered below, along with suggestions for treatment:

A site is a relatively discrete, definable entity, which includes features and/or a reasonable quantity and aggregation of artifacts. Further, a site displays integrity of location, and is potentially interpretable (in terms of past human behavior). An isolate (or isolated find) is a spatially scattered and/or a disassociated manifestation, comprised of a single or relatively few artifacts, which lacks contextual information (cf. Plog, Plog and Wait 1978:389; Brown 1985:8-9). All discrete locations exhibiting past human activity initially should be assumed to be sites and recorded as sites. The archaeologist must then demonstrate, using accepted methodology and professional judgement, that the site is or is not eligible to the National Register.

All archaeological sites must be recorded on the most current version of the Intermountain Antiquities Computer System (IMACS) site forms available, and their location given via the State Highway Reference Post or urban address. Similarly, historic buildings should be recorded on the Utah State Historic Preservation Office's (USHPO) "Historic Site Form" or Reconnaissance Level Survey (RLS) encoding form. IMACS forms should only be used on historic structures if the residence is abandoned, in ruin, or in a remote location. Abandoned residences or any standing structures located in a town or city limits, require documentation using the Recon Form or the Historic Site Form. As much data as possible about such site attributes as location, quantity, density and patterning of artifacts, features, etc. should be entered on these forms. Short, one-sentence site descriptions on the forms are **not** acceptable. Because the probability is high that a given site will be revisited by other archaeologists, the location data must be accurate. **Most importantly**, the site sketch map should be completed to scale, detailed, clearly labeled, and easily understandable; it should include reasonably accurate contours, a bold north arrow, and a legend. Consultants are encouraged to illustrate or photograph diagnostic artifacts. Photographs should include site overviews, features, artifacts, and at least one photo showing the horizon for relocation purposes. Site locations are to be plotted on U.S.G.S. 7.5 quad sheets, and available design sheets.

Site photographs should have good resolution; photo half-toning is optional. In general, the IMACS form should be easy to photocopy, meet an acceptable level of quality, and include original

photographs. Digital images can be used, but the consultant will use Black and White photographs on all site forms for RLS and ILS documentation and all IMACS forms. If scanned or digital images are used instead of original photographs, they must be on archival quality paper when attached to site forms. Archival quality paper is defined in the glossary as acid free paper. This paper is readily available. Even archival ink for printers is available for some brands such as Epson (see <http://www.einks.net/lyson.html>). The Consultant will submit **only** black-and-white photographs for sites documented to ILS standards, unless otherwise directed by the relevant UDOT archaeologist. Site plots should be made on any design sheets supplied by the region, if available. These in turn need to be submitted to the UDOT archaeological staff once the project is completed.

To help facilitate relocation of sites, a non-degradable site tag with the temporary or permanent site number must be established on-site, and its position accurately marked on the site sketch map. Site tags must be attached to some form of non-corrosive datum stake and be resistant to wind. Relocating site tags placed in vegetation has been difficult to impossible. Consultants working directly for the UDOT are required to create a datum from a metal rebar with an aluminum cap having a temporary or permanent site number. Stamp sets are supplied to these Consultants by the UDOT. Placement of datums is generally not necessary on linear features or sites outside the right-of-way on private property. Datums for sites on private property should be placed in the ROW at a point nearest the site. Datums provide a map reference point and should be used at the consultant's reasoned discretion to provide clarity when reporting results. Professional judgement will dictate the need for and placement of datums. Place them as necessary and report where and why they were placed.

Finally, previously recorded sites (up to and including the first generation of IMACS site forms) need to be re-recorded with up-to-date information, with re-evaluations of significance if necessary. Any new data to be reported or changes in the status (e.g., testing or eligibility) of sites previously recorded on IMACS forms should be noted. Isolates should be recorded; minimal recording includes illustrating or photographing diagnostic artifacts, briefly describing the artifact(s), plotting on U.S.G.S. 7.5 quad sheets and available design sheets, and providing UTM coordinates

ELIGIBILITY

The evaluation of site significance and National Register of Historic Places (NRHP) eligibility is extremely important for historic preservation compliance and for long-term management purposes. Therefore, the utmost care and thought should go into evaluations of a particular site's significance and NRHP eligibility. This process involves "measuring" a particular site's qualities against the Criteria for the National Register, as given in 36 CFR 60.4 and outlined below. Exceptions to these criteria are also presented in 36 CFR 60.4 and discussed with examples in *National Register Bulletin 15*.

The quality of significance in American history, architecture, archaeology, and culture is present in districts, sites, buildings, structures and objects of national, state and local

importance that possess integrity of location, design, setting, materials, workmanship, feeling and association and:

- A) That are associated with events that have made a significant contribution to the broad patterns of our history; or***
- B) That are associated with the lives of persons significant in our past; or***
- C) That embody the distinctive characteristics of a type, period, method of construction, or that represent the work of a master, or that possess high artistic values, or that represent a significant and distinguishable entity whose components may lack individual distinction; or***
- D) That have yielded, or may be likely to yield, information important in prehistory or history.***

Although all of the criteria may apply to prehistoric sites, usually only criteria C or D are relevant. Sites that may yield information important in history or prehistory are considered eligible for the NRHP under criterion D. When evaluating historic trash deposits or other isolated features, it is essential that the site under investigation be considered in association with other nearby historic features or activities. Disassociated historic trash deposits (those lacking any apparent contextual association) are generally not eligible for the NRHP, but this must be considered on a site-by-site basis. Sites that do not have the ability to yield important information are considered ineligible to the NRHP. It is as important to justify clearly why a site is recommended as ineligible as it is to justify why it is considered eligible.

Any of the NRHP criteria may be applicable for historic sites. It is absolutely crucial to explicitly state under which criterion a particular site is recommended eligible, or conversely, a clear explanation of why a given site is not eligible. While a historic resource generally should be fifty (50) years of age before it may be considered eligible for the NRHP, the UDOT must allow for enough time to complete the design, review and construction of a project. Therefore, the UDOT in consultation with USHPO, has set forty-five (45) years as the minimum age a property must be for consideration to the National Register. Some projects may have this limit adjusted **up or** down, but only on a case-by-case basis and where justified.

The following information must be provided for every site identified in a project area:

- 1) a recommendation of whether the site is eligible or not eligible;
- 2) which criterion or criteria (e.g., A through D, above) apply; and
- 3) if eligible, which elements of integrity (... location, design, setting, materials,

workmanship, feeling and association) apply;

Consultants are expected to provide reasoned recommendations of eligibility explicitly based on physical evidence. Failure to do so will be at the Consultant's risk. Isolated finds need not be evaluated for significance, because by definition an isolate lacks contextual information that would allow it to be interpretable.

TESTING FOR ELIGIBILITY

Some sites are "obviously" eligible for the NRHP. Conversely, some sites have been so badly compromised or are otherwise unable to yield important information that they are "obviously" ineligible. For these sites, thorough documentation of the evidence leading to the determination is all that is needed. Many site surfaces do not clearly indicate eligibility, however, and require subsurface testing to demonstrate the presence or absence of important information. In either case, the Consultant must provide UDOT with a logical and supportable evaluation of the information potential (or the lack thereof) for each archaeological site.

All testing conducted should be as limited as possible. Specifically, testing should be conclusive enough to allow for an accurate recommendation of eligibility, but stop short of excavating encountered features. The goal is to assess the basic nature and contextual integrity of the site, especially in UDOT ROW. Testing should occur in the areas most likely to yield important information, regardless of land ownership, with an emphasis on assessing integrity of deposits within UDOT ROW. Written permission for testing on privately held lands will be sought from the property owner by the consultant and/or UDOT. All recovered diagnostic artifacts will be curated by the consultant. The following procedural guidelines for testing apply to most projects:

- 1) Use the heaviest hand tools possible. Screening should always be conducted, barring some extraordinary circumstance.
- 2) Small, simple shovel test pits are preferable, so long as they are able to accurately assess the presence, absence, or integrity of subsurface cultural deposits; it may be necessary to use a larger test unit to adequately assess deposits at a particular location. Each test unit (whether a shovel test pit or a 1 X 1 m unit) should be taken down to sterile, unless it is probable that an important feature will be impacted. In general, hand-excavated test units should never be more than two square meters in size. Shovel test pits do not necessarily require drafted profiles, since detailed descriptions of subsurface findings will suffice. All excavations should be screened through at least 1/4-inch hardware cloth.
- 3) Make sure the presence or absence of subsurface cultural materials is accurately assessed. Begin by testing in areas where you think cultural deposits are most likely (i.e., judgmental sampling). If the entire site surface appears equally likely, use some sort of systematic sampling, such as shovel testing every 'X' number of meters out

on a compass line from the datum. Whatever method used, the Consultant must demonstrate for the record that intact subsurface cultural deposits are either present or not present on-site, and that the possibility for identifying such deposits has been exhausted.

- 4) Start with one test pit. If negative results occur, but you are still not convinced the site is non-significant, keep adding test units, one at a time, until you find buried cultural deposits. Keep adding shovel test pits until you have either found a significant feature or deposits, or you have exhausted the possibility for subsurface materials on-site.
- 5) If a buried feature is encountered in the test pit, excavate only enough to define it using professional judgement, assess its integrity as defined by the National Register criteria, and document it according to IMACS standards. If a radiocarbon sample is easily recoverable, collect it and process it; the resultant date will help document the context and thus, significance of the site.
- 6) Document the test pit location(s), stratigraphy (and artifact content therein), etc. Stratigraphic profiles which are clear and supplemented with a photograph are usually necessary.
- 7) All testing methods and results should be documented on the IMACS form and in the survey report.
- 8) All test units must be fully backfilled before leaving the site, unless other arrangements have been made (e.g., a UDOT or other agency archaeologist might need to see the results). If a test unit is left open, it must be clearly marked or otherwise made safe, so that the UDOT is not liable for a safety hazard.
- 9) Subsurface artifacts found during test pit excavation should be noted, sketched, described, etc. If any subsurface artifact (or assemblage) is important to interpretation of the site, it should be curated; if not, the Consultant has the flexibility to bag the artifacts from a particular test pit in a labeled container and rebury these in the relevant test pit during backfilling.

In some cases, backhoe testing (for significance) may be warranted if hand excavation methods cannot adequately address the presence or absence of subsurface deposits on-site. In such cases, contact the relevant UDOT archaeologist in advance of any such testing. The same principles and procedures apply in backhoe testing as in hand testing, but every such case needs to be dealt with on its own merits. Communication is the operative word here; keep the relevant UDOT archaeologist as informed as possible. Backhoe trenches should be refilled immediately. If extenuating circumstances force leaving backhoe trenches open for any length of time, the trench should be clearly marked and at least one end of the trench should be sloped so large mammals can exit the

trench safely and unaided.

REPORTING

The following guidelines for reporting are given in the interest of keeping the quality level high and assuring the proper format and detail. In cases where the UDOT is lead agency, all reports should be submitted to the UDOT. The Consultant will be directed by the UDOT Regional Archaeologist on the number of copies of draft reports, draft final reports, and final reports. These submissions must include the UDOT Cover Page (see Appendix B) and all site forms. To alleviate confusion about case numbers at the Division of State History, the SHPO has requested that consultant reports, site forms, and the SHPO Cover Page be submitted through UDOT. All report measurements must be reported in metric, with standard measurements in parentheses () for all projects. Further, almost all reports are improved and readers benefit when photographs of the buildings, structures and/or features under discussion have been placed in the final report (photocopies will do in most draft reports). These standards must also be followed in the preparation of the paleontological report, which should be included as an appendix or as a separate report.

Positive Reports

All reports produced after fieldwork must be prepared so that all sensitive information such as locations of archaeological sites, TCPs, sacred sites, and any other information from which location can be derived, is contained in a **detachable** appendix. All reports which positively identify cultural resources should have the following content:

- 1) A title page, which includes all the usual information plus the Division of State History Permit Number and the UDOT Project Number (directly after the title);
- 2) An abstract page, which summarizes the project description, cultural and paleontological inventory results, and professional recommendations;
- 3) A table of contents, and a list of tables and figures;
- 4) An introduction;
- 5) A description of the project area, both in general and specific terms (including, but not limited to, maximum width and length, total acres, legal location, state highway route, and milepost (if applicable)), along with a 7.5' USGS map showing the project/survey area (separate maps if these are different);
- 6) A description of the local environment;
- 7) Identify other federal and state agency jurisdiction by legal description;

- 8) A summary of any previous research (projects and sites recorded) in the area. Provide the distance from the project for which the record search was done. Provide a map showing all projects and sites that are all or partially in the current APE;
- 9) The survey methods (including transect intervals, length and width of survey area, site and isolate definition, recording methods, etc.) employed, and any variations;
- 10) As appropriate, cultural context of the prehistoric cultures of the survey area, and/or the historic context of the project area;
- 11) The survey results, detailing what cultural and paleontological resources were found and their NRHP eligibility and/or significance, along with a 7.5' USGS map plotting all sites and Isolated Finds (all location information and the map will be in the detachable appendix);
- 12) The results of Native American consultation (all location information will be in the detachable appendix);
- 13) Recommendations;
- 14) A management summary;
- 15) The references cited;
- 16) An appendix containing the sensitive information (e.g., locations of archaeological sites, TCPs, sacred sites, and any other information from which location can be derived)
- 17) An appendix containing the letter from UGS regarding the record search and the paleontological report (if applicable); and
- 18) Unbound IMACS or Historic Site forms for all recorded sites.

As always, the tables, figures, etc. should be clear, and the report should follow the SAA Style Guide (American Antiquity 48:429-442).

Negative Reports

Negative reports should consist of a letter including the following data:

- 1) The UDOT project name and number;
- 2) The number of any permit given for the project (and/or the Division of State

History's project number);

- 3) A brief summary of items 4, 5, 8, 9, 11, 15, and 16 found in the discussion of positive reports, above;
- 4) A possible explanation of why no sites were located (i.e., topography too broken, disturbed, etc.); and

The negative letter report should have the same distribution as a positive report. The section summaries do not need to be titled. Similar style, clarity of text and graphics as in positive reports are important.

HISTORIC SURVEYS

Prior to beginning any historic survey or inventory, the personnel conducting the survey must meet the NPS - Professional *Qualifications Standards* for History, as outlined in 36 CFR 61 - Appendix A. Further, any person conducting these types of projects must be familiar with the following publications: *Utah's Historic Architecture, 1847-1940* (Carter and Goss, 1988) and *A Field Guide to American Houses* (McAlester and McAlester, 1984) for architectural identification and evaluation, as well as the *Standard Operating Procedures for Reconnaissance Level Surveys* (USHPO, 1995) and the *Intensive Level Survey - Standard Operating Procedures* (USHPO, 1993). The ILS/Recon are utilized most often in urban areas for historic resources only. The Utah Historic Computer System (UHCS) codes and forms used in these surveys change often; it is incumbent upon the consultant to ensure that the most current versions are used.

While the following sections outline the procedures to be followed for conducting Reconnaissance Level and Intensive Level Surveys, it may become necessary to modify a survey by incorporating both types, and possibly prehistoric surveys, into one report in order to meet the project needs. Thus, the type of inventory method to be employed for each project should be carefully considered. As always, the UDOT Regional Archaeologist must be consulted prior to undertaking any project, in order to assist in determining which type or combination of survey is best suited to meet the project parameters. The purpose of these inventories or combinations is to evaluate the eligibility status of historic and prehistoric sites for the National Register of Historic Places while minimizing the amount of survey time and report work involved in completing the project.

Reconnaissance Level Surveys

The following guidelines for reporting reconnaissance level surveys (RLS or recon) are given in the interest of maintaining a high level of quality and assuring that the proper format and detail are present in all the UDOT reports. Reconnaissance level surveys are generally used at UDOT as a "first-cut" survey, primarily in urban areas or where there are groups of structures, to determine which structures meet the minimum eligibility criteria. Eligibility for the RLS is based on age and integrity, with an implied significance under one or more of the National Register criteria. The

decision about whether the RLS will include only those properties with buildings that are in-period (selective survey) or all properties in the project area (standard survey) will be made in consultation with the UDOT Regional Archaeologist and the SHPO.

The survey method will consist of assessing the age (45 years for UDOT projects) and integrity of all buildings on the property, and placing the data on Utah Historic Computer System - Reconnaissance Level Survey forms, photographing the buildings (including in-period outbuildings), and plotting their locations on a sketch map. Other aspects of the property--other than just buildings--that may contribute to the overall eligibility (such as fences, ditches, old trees, etc.) should be considered in the eligibility evaluation as well. It should be made clear in the report whether it is just a building that is eligible, or whether it is the entire property that is eligible. Although the standard RLS procedure employs an evaluation criteria of A (eligible/significant), B (eligible-contributing), C (ineligible), and D (out-of-period), the UDOT, for Section 106 purposes, does not recognize any distinction between the A and B categories. While the A and B criteria should be recorded on the RLS encoding forms for USHPO, they must be assessed as "eligible" (no distinction) in the report.

In some cases, particularly if there are only a few structures in the survey area, or if there are only a few in-period structures in an area with primarily out-of-period structures, it may be appropriate to complete an abbreviated version of the Utah Office of Preservation - Historic Site Form instead of the RLS encoding form. Use of this form at the reconnaissance level of survey will be done only in consultation with the UDOT Regional Archaeologist.

All reports conducted as a RLS must meet the aforementioned format for **positive reports** and in addition, include the following:

- 1) An abstract and introduction that contains the total number of structures recorded, along with a breakdown by NRHP-status of those buildings. For example, the number of eligible, ineligible and out-of-period buildings recorded;
- 2) A description of whether the survey was a standard or a selective survey, and why
- 3) A brief summary, in table form, of the eligibility status of these structures;
- 4) Unless directed otherwise by the UDOT Regional Archaeologist, a description of each in-period eligible and ineligible structure along with its eligibility criteria. This can be a detailed table and/or text description, determined in consultation with the UDOT Regional Archaeologist;
- 5) A sketch map of the survey area, identifying the location of each building by address, cross streets, and eligibility status, following the procedures outlined in the *Standard Operating Procedures for Reconnaissance Level Surveys* (USHPO, 1995);

- 6) Unless directed otherwise by the UDOT Regional Archaeologist, all buildings, structures and features discussed in the text/tables should have an accompanying 3 by 5 inch standard size photograph (may be color print);
- 7) Copies of the encoded Utah Historic Computer System - Reconnaissance Survey Form or historic site form; and
- 8) Black-and-white photographs that must be in the form of contact prints, with each frame identified by address and eligibility status. In-period outbuildings also require documentation. All photographic negatives and contact sheets must be placed in a clear archivally stable cover and submitted with the final report for submission to USHPO. Draft reports can have legible copies of the contact sheets.

The Recon Survey Encoding Form, the black-and-white contact sheets, negatives, and the survey map must not be bound in USHPO's copy of the report, but placed in a separate accompanying envelope.

Intensive Level Surveys

As previously mentioned, guidelines for reporting on the Intensive Level Surveys (ILS) are given in the interest of maintaining a high level of quality and to assure that the proper format and detail are observed for all UDOT reports. This type of survey is most often used by UDOT as mitigation, i.e., to document properties whose structures will be demolished or otherwise adversely effected by the project. Unless using a combined ILS and Recon approach, the buildings and structures will be recorded by completing a Utah State Historic Preservation - Historic Site Form, following the procedures outlined in the *Intensive Level Survey - Standard Operating Procedures* (USHPO, 1993). The format for the report for an ILS will be determined in consultation with the UDOT Regional Archaeologist.

MONITORING

UDOT policy stipulates monitoring is an option of last resort on all highway projects. Every effort must be made to identify all historic, archaeological, and paleontological resources in the preconstruction phase, since encountering "discovery" properties during construction is extremely disruptive to the project and very expensive. Monitoring should only be recommended if all other reasonable methods for identification and evaluation of archaeological or paleontological resources have been expended. The Consultant must contact the relevant UDOT Regional Archaeologist and discuss the prudence of monitoring prior to recommending in writing a monitoring program. In some settings, a regimen of off-site testing of certain topographic localities where buried sites are likely may be implemented.

"DISCOVERY" SITUATIONS

Under UDOT Standard Specification 104.15, which specifies the procedures for handling discovery of buried cultural or paleontological resources, construction crews that encounter undocumented remains are required to cease ground-disturbing activities in the immediate area until a qualified archaeologist or paleontologist can assess the resource. The UDOT Consultant should be available for such emergencies, at the request of either the UDOT Regional Archaeologist or the Region Environmental Engineer.

REFERENCES CITED

Brown, Gary M.

- 1985 *Interstate- 70 Archaeological Survey from Castle Valley to Rattlesnake Bench, Sevier and Emery Counties, Central Utah*. Abajo Archaeology, Bluff, Utah. Submitted to the Utah Department of Transportation, Salt Lake City.

Carter, Thomas and Peter Goss

- 1988 *Utah's Historic Architecture, 1847-1940*. Center for Architectural Studies, Graduate School of Architecture, University of Utah and Utah State Historical Society, Salt Lake City. Reprinted 1991.

McAlester, Virginia and Lee McAlester

- 1984 *A Field Guide to American Houses*. Alfred A. Knopf, New York. Reprinted 1993.

Plog, Stephen, Fred Plog and Walter Wait

- 1978 Decision Making in Modern Surveys in *Advances in Archaeological Method and Theory, Vol. 1*, edited by Michael B. Schiffer, pp. 383-421. Academic Press, New York.

Utah State Historic Preservation Office

- 1993 *Intensive Level Survey - Standard Operating Procedures*. Available from the Division of State History, Salt Lake City.
- 1995 *Standard Operating Procedures for Reconnaissance Level Surveys*. Available from the Division of State History, Salt Lake City.

APPENDIX A: UDOT FIELD AUTHORIZATION FORM



Region One
Phone: (801) 399-5921
Region Two and Three
Phone: (801) 975-4923
Region Four
Phone: (435) 893-4753

**UDOT Field Authorization Form
For Cultural and Paleontological
Resources Compliance**
(36 CFR 800, U.C.A. 9-8-404, U.C.A. 63-73-19)

Form Revised 4/2000

UDOT Project # (If Applicable): _____

1. Cultural Resources Consultant: _____

2. Address: _____

3. Phone: _____

4. Nature of Work Proposed (include client and project names; be specific on type of inventory, corridor width, etc.)

5. Attach Map of Project Survey Location

USGS 7.5' Quadrangle Name(s): _____

6. Period When Work Will Be Done: mm/dd/yy From: / / / To: / / /

7. Utah Antiquities Permit #: _____

8. Responsible Individual:

Name Date

Field Supervisor:

Name Date

ROW Encroachment Permit # (If Applicable): _____ Date Issued: _____

Name of ROW Permittee: _____ Phone: _____

Form Revised 4/2000

This image shows a blank sheet of white paper with horizontal ruling lines. The lines are evenly spaced and extend across the width of the page. There are no margins, text, or other markings on the paper.

Date _____

APPENDIX B: UDOT COVER PAGE

UDOT CULTURAL AND FOSSIL COVER PAGE

MUST ACCOMPANY ALL PROJECT REPORTS
SUBMITTED TO UDOT

UDOT PROJECT NO. & NAME: _____

HIGHWAY NO. & PROJECT MILEPOSTS: _____

COUNTY(IES): _____

STATE ANTIQUITIES PROJECT NUMBER: _____

PRINCIPAL INVESTIGATOR/COMPANY: _____

AREA SURVEYED (METERS EITHER SIDE OF HIGHWAY CENTERLINE) _____

USGS MAP REFERENCE(S)& LANDS JURISDICTION: _____

SITES REPORTED:

SMITHSONIAN/106 & PALEO SITE NOS.

ELIGIBILITY

HIGHWAY MILEPOST

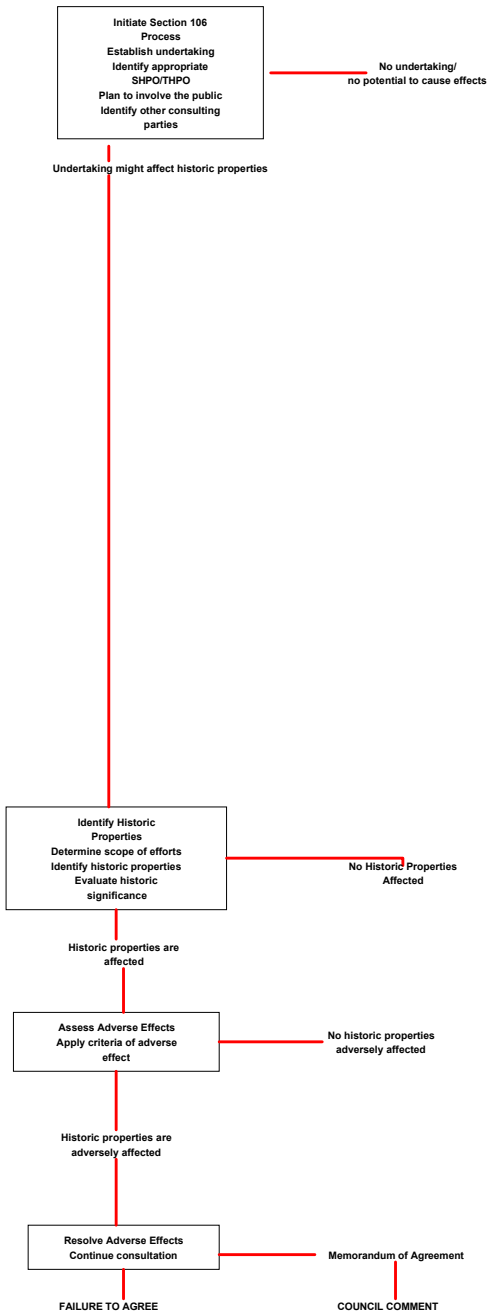
CHECKLIST OF REQUIRED ITEMS

1. __ COPY DRAFT REPORT
2. __ 1 COPY DRAFT IMACS/ILS SITE FORMS
3. __ 1 COPY UGS PALEO LIT SEARCH RESPONSE LETTER
4. __ FINAL SHPO COVER SHEET
5. __ 2 COPIES OF THE FINAL REPORT
6. __ 2 COPIES OF FINAL ORIGINAL SITE FORMS

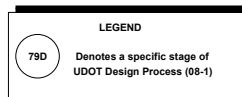
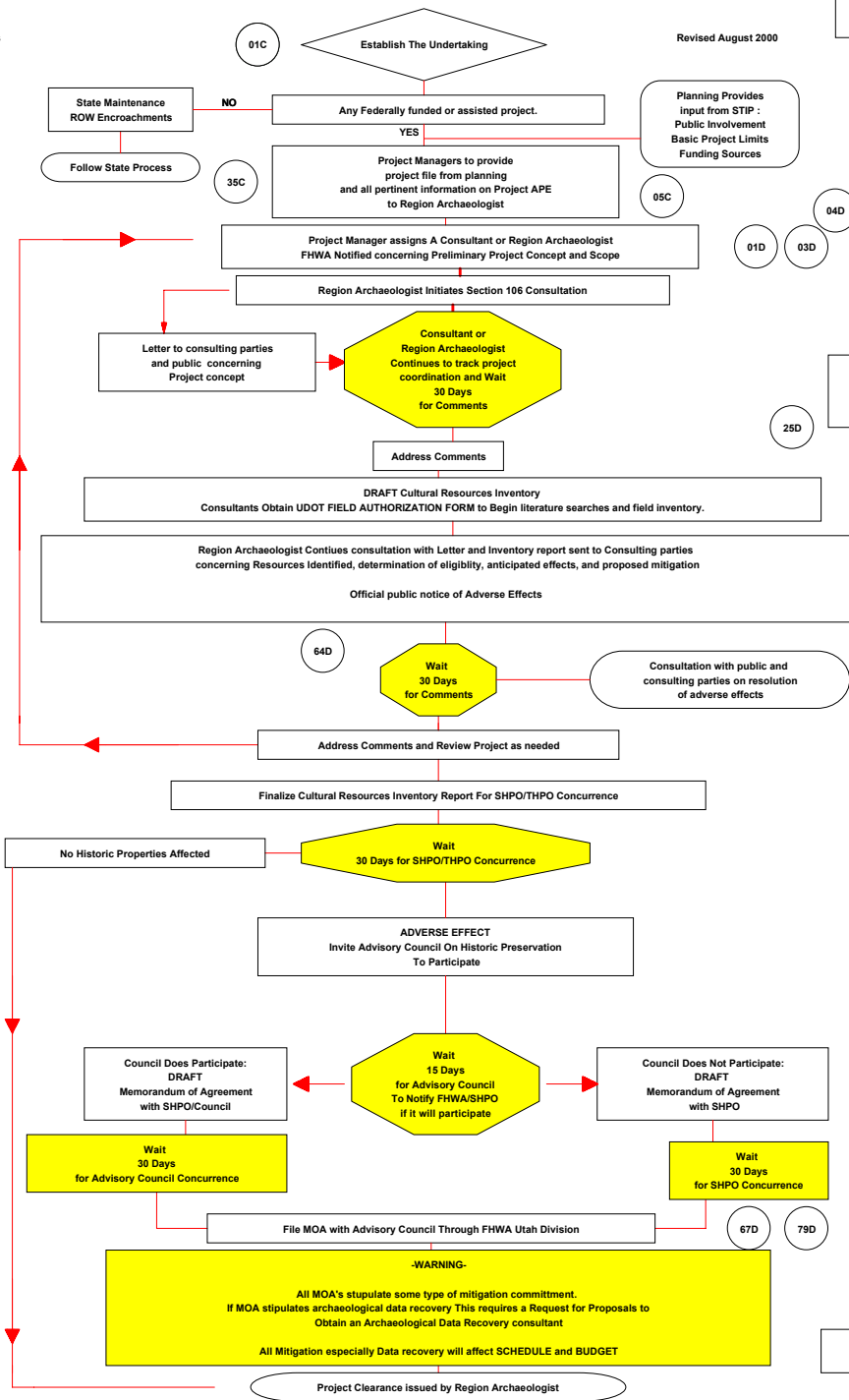
NOTE: IF UDOT IS PRINCIPAL AGENCY, UDOT WILL SUBMIT SHPO'S REPORTS AND SITE FORMS. WRITTEN EVIDENCE OF UGS PALEO LIT SEARCH REQUIRED.

APPENDIX C:
UDOT CULTURAL RESOURCE MANAGEMENT FLOWCHART

Section 106 Process



UDOT Cultural Resources Management Process



Federal Highways (UDOT) NEPA Process

